



DEPARTMENT OF THE NAVY

NAVAL SERVICE TRAINING COMMAND
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NSTCINST 5230.1

N6

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NSTC INSTRUCTION 5230.1

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND INFORMATION TECHNOLOGY
GOVERNANCE PROGRAM

Ref: (a) [DoDINST 8115.02](#)

Encl: (1) [IT Governance Program Definitions](#)
(2) [Functional Review Board Charter](#)
(3) [Functional Review Board Composition Chart](#)
(4) [Functional Review Process Flowchart](#)

1. Purpose. To implement a policy for the approval, implementation, and life cycle support of information technology (IT) to enable the training mission and overall business of Naval Service Training Command (NSTC). This instruction conforms to the policy and direction outlined in [reference \(a\)](#). It establishes the composition, function, responsibilities, and authority of the NSTC Functional Review Board (FRB). It grants authority to the board for the assessment and prioritization of recommendations to the chain of command for the implementation of functional requests for information services.

2. Applicability and Scope. This instruction applies to:

a. Naval Service Training Command, its subordinate commands, activities, departments, and special assistants.

b. All phases and activities of the information management life cycle, regardless of medium or intended use within NSTC.

c. All NSTC IT used to enable both training mission and overall business functions.

d. All NSTC functional requirements that will result in the acquisition of new IT or changes to existing IT, regardless of the source of funds used to acquire or change it.

3. Definitions. Terms used in this instruction are defined in [enclosure \(1\)](#).

4. Policy. It is NSTC policy that:

a. A FRB shall be established to review and prioritize functional requests for information services proposed to Navy Total Force Automated Information Systems (AIS) by NSTC stakeholders. The FRB will be a voting board. It will approve and prioritize proposed functional capability requests as authorized by this instruction.

b. The FRB shall determine the method, form, and process used to communicate a request for information services to the FRB. Such request will only be considered by the FRB when it has been approved by a commanding officer, department or activity director. The purpose of this approval process is to validate that the business case for the requested service has been thoroughly explained and is supported by leadership.

c. All requests not approved will be returned to the originator accompanied with an explanation of the reasons for disapproval.

d. All functional requirements for the acquisition of new IT or changes to existing IT used by NSTC are subject to review and approval by the FRB. However, the following types of changes will not normally require FRB review: (1) minimum sustainment system changes involving normal maintenance fixes; (2) changes considered to be emergency, simple, or routine; (3) and software modifications resulting from external law or regulatory policy changes. Such changes may be initiated by any NSTC business unit and provided to the Requirements and Project Management Office (RPMO) for further referral to the appropriate Configuration Control Board (CCB) for prioritization and implementation. A standard request form/process shall be followed. The RPMO will notify FRB members of emergency system changes as soon as practical. The FRB will be notified of the impact of such changes to authorized work in progress. Except for emergency changes, all changes submitted directly to the RPMO are subject to cancellation or re-prioritization by the FRB.

e. The RPMO shall create proposed technology solution proposals and present to the FRB for review and final approval.

Whenever possible, RPMO shall provide options for the FRB to consider. Proposed solutions shall include a Rough Order Magnitude (ROM) estimate for implementing the solution.

f. When the FRB recommends a technology solution, the RPMO will initiate a project and establish a plan to track the required work through to completion or until the project is cancelled by higher authority.

g. The primary objective of the FRB is to prioritize IT projects recommended for implementation. The FRB will prioritize IT projects based on command strategy, funding, schedules, opportunities for synergy with other efforts, and other relevant factors.

5. Responsibilities

a. The Functional Review Board shall:

(1) Operate per the Functional Review Board Charter as identified in [enclosure \(2\)](#) and as may be amended from time to time by the FRB and Commander, NSTC.

(2) Be composed of membership per the Functional Review Board Charter as identified in [enclosure \(2\)](#) and depicted in [enclosure \(3\)](#).

(3) Establish evaluation criteria to determine benefits of requested services; develop and support change management policies, processes, and procedures used to process requests for information services, as outlined in [enclosure \(4\)](#).

(4) Evaluate requests with respect to impact on related program elements.

(5) Recommend action on proposals and functional requests from Board members or external sources.

(6) Maintain a record of functional requests and their status (approved, prioritized, deferred, and disapproved).

b. The FRB Chairman shall:

(1) Preside over the FRB and conduct FRB meetings on a regular schedule.

(2) Keep higher management advised of significant requests.

(3) Assign action items, as required.

c. The FRB Secretary shall:

(1) Develop, publish, and distribute the FRB agenda and meeting schedule to designated organizations and FRB members.

(2) Document attendance and record the minutes of each FRB meeting, and distribute final minutes to each FRB member within five business days of approval.

(3) Ensure the Board action is documented for each request, and advise requesting organization of the action taken by the FRB.

(4) Maintain a file of applicable regulations, policies, and correspondence pertaining to FRB functions.

d. FRB Members shall:

(1) Act as the FRB focal point within their organization ensuring that requests and agenda items are fully coordinated within their organization, and all concerns, questions, or problems are addressed.

(2) Provide sufficient information needed to assess the effect of the request, and participate in the information service request review.

(3) Negotiate for their respective organization, and have the authority to commit their organization to take action on requests being reviewed by the FRB.

(4) Ensure action items assigned are completed by established deadlines.

(5) Fairly represent the FRB and the FRB decisions to their respective organizations.

e. The Command Logistics and Information Officer (N4/6) shall:

(1) Ensure NSTC compliance with [reference \(a\)](#) as well as all other applicable higher echelon Information Resource Management policies, directives, and instructions.

(2) Enable full interoperability and integration of data and information across NSTC operations and activities, consistent with Information Assurance (IA) requirements.

(3) Ensure compliance of NSTC IT projects and initiatives with the Department of Defense Architecture Framework (DoDAF).

(4) Ensure that the FRB and technical proposal processes interface with the appropriate external functional and technical governance processes required to meet NSTC's requirements. These include, at a minimum, the functional and technical governance processes and bodies of higher command authorities, as well as the technical governing processes of the Central Design Activity (CDA) engaged for the delivery of an IT project.

(5) Establish a RPMO under NSTC N61 to manage projects approved by the FRB and other requests for IT. With respect to the FRB, the RPMO shall:

(a) Initiate projects when approved by the FRB.

(b) Manage the effort required to complete the project, either directly or through interfacing with a third party project manager.

(c) Keep the project sponsors informed of the project status at all times.

(d) Communicate and coordinate with higher echelon authorities for IT portfolio and project management.

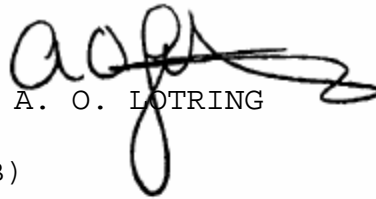
(e) Conform to Navy standards for IT project management.

f. Commanding Officers, Directors, Department Heads, and Special Assistants shall ensure all requests for IT training mission or overall business functionality originating from their

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command, activity, department or area of responsibility are forwarded to the FRB or NSTC RPMO, as appropriate.

g. The Strategic Management Officer shall provide guidance to the FRB for the evaluation and prioritization of functional requirements and their alignment with the NSTC strategic plan.



A. O. LOTRING

Distribution: (NSTCINST 5216.1B)
List 3 and 4

IT Governance Program Definitions

1. Information. Any communication or representation of knowledge such as facts, data, or opinion in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms.
2. Information Assurance. Information operations that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and non-repudiation. This includes providing for restoration of information systems by incorporating protection, detection, and reaction capabilities.
3. Information Life Cycle. The stages through which information passes, typically characterized as creation or collection, processing, dissemination, use, storage, and disposition.
4. Information Management (IM). The planning, budgeting, manipulating, and controlling of information throughout its life cycle.
5. Information Resources. Information and related resources, such as personnel, equipment, funds, and information technology.
6. Information Resources Management (IRM). The process of managing information resources to accomplish Agency missions and to improve Agency performance, including through the reduction of information collection burdens on the public.
7. Information System. A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.
8. Information Technology (IT). Any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information by the DoD Component. For purposes of the preceding sentence, equipment is used by a DoD Component if the equipment is used by the DoD Component directly or is used by a contractor under a contract with the DoD Component that:

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a. Requires the use of such equipment; or

b. Requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. Notwithstanding the above, the term "information technology" does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

Functional Review Board Charter

1. Purpose. This charter establishes the composition, function, responsibilities, and authority of the NSTC Functional Review Board (FRB). It grants authority to the board for the assessment, prioritization, and execution of functional changes to NSTC Automated Information Systems. This charter will be revised periodically to reflect appropriate changes in the board's composition and level of authority.

2. Scope. The FRB, reviews, approves, and prioritizes functional capability changes to current NSTC capabilities. Requests for changes are received from many sources.

3. Policy

a. A Functional Review Board (FRB) will be established to review and prioritize the functional changes proposed to NSTC Automated Information Systems. The FRB will be a voting board. It will approve and prioritize proposed functional capability changes as authorized by this Charter.

b. All requests not approved will be returned to the originator accompanied with an explanation of the reasons for the disapproval.

c. Minimum Sustainment system changes involving normal maintenance fixes and software modifications resulting from external law or regulatory policy changes will not require FRB review. These changes will be initiated by functional unit membership and provided to the appropriate authority (Configuration Control Board, etc) for prioritization and implementation via the NSTC N61 Requirements and Project Management Office (RPMO). The Functional Review Board members will be notified of emergency system changes as soon as practical. The FRB will be provided information on the status of their changes, their priority, their costs, and will be allowed the opportunity to comment on any priorities established during the process.

4. Membership. The membership of the FRB consists of a representative from each of the organizations identified in paragraph 4.a. and b. below. A primary and alternate from each of the organizations must be designated in writing by the organization head. Members will formally notify the FRB

Secretary of changes to their designated primary and alternate members. The designated members should be delegated full authority to represent their organizations at the FRB including the authority to commit the organization to cost reimbursement for approved enhancements. In the absence of the primary member, the alternate member should have full authority to act on behalf of the representative organization. The FRB reviews functional capability requests; assigns action items; establishes suspense dates; establishes priorities; and ensures Board activities are properly documented. The FRB Composition includes:

a. Voting Members. NSTC functional stakeholders, voting members as assigned for each individual functional area (OD, CD, OTC, RTC, N2, N3/5/7, N8, N9, and Strategic Management Office)

b. Non-voting (Advisory) Members: N4/6, N1, and other representatives from Portfolio Management and technical advisors, as appropriate, based on the agenda.

5. Overall FRB responsibilities

a. Develop functional change evaluation criteria that can be used by the FRB to determine benefits of requested changes; develop and support change management policies, processes, and procedures used to process change requests.

b. Ensure that proposed changes are evaluated with respect to impact on other related program elements.

c. Recommend action on proposals and functional change requests from Board members or external sources.

d. Maintain a record of functional changes and their status (approved, prioritized, deferred, and disapproved).

e. Select the FRB Chairperson and alternate FRB Chairperson from the voting members.

6. NSTC N61, RPMO responsibilities

a. Provide guidance as appropriate. Assist business units with preparation of business case analyses.

b. Receive change requests, establish FRB item records in the Functional Configuration Management (CM) database for each item, and ensure the CM database is updated as required.

c. Provide project management and project coordination for projects and initiatives directed by the FRB.

d. Report back to the FRB with status and spending.

e. Serve as liaison and coordinator with MPT&E's Project Management Support Branch.

7. FRB Chairperson responsibilities. The Chairperson is responsible for conducting FRB meetings, ensuring adherence to disciplined change-management procedures, and ensuring timely FRB recommendations and decisions based on current factual data. The Chairperson will make recommendations/decisions on all system change requests and related issues, and will coordinate with the appropriate organization(s) on the implementation dates. The Chairperson's specific responsibilities are listed below:

a. Preside over the FRB.

b. Appoint a primary and alternate FRB Secretary.

c. Direct preparation, staffing, and approval of the Change Management Plan, the FRB operating instruction, and changes to the FRB charter.

d. Conduct FRB meetings on a regular recurring schedule.

e. Request and evaluate impact analysis on requested changes.

f. Keep higher management advised of significant changes.

g. Establish criteria for the acceptability of proposed changes.

h. Determine who or what organizations need to be involved in review of a change.

i. Assign action items, as required.

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j. Direct disposition of each FRB system change request by taking one of the following courses of action:

(1) Approve or conditionally approve requests when the voting Board members present approve them.

(2) Return the recommended request to the originator(s) for additional information or clarification.

(3) Prioritize recommended course of action based on funding capability.

(4) Deliver approved or conditionally approved requests to MPT&E FRB when internal funding is unavailable or impact is beyond NSTC.

k. Approve the FRB minutes and directives submitted by the FRB Secretary for distribution to all FRB members.

l. Present FRB recommendations or issues to Commander, NSTC for review within ten business days of FRB meeting, as appropriate.

8. FRB Secretary responsibilities. The Secretary is responsible for administering all FRB procedures and actions, and for serving as recorder at all FRB meetings. This includes performing all administrative functions required to support the FRB and coordinating with the members to ensure that Board actions are properly presented and documented. In the absence of the FRB Secretary, the alternate will perform the duties of the FRB Secretary. The Secretary's responsibilities are listed below:

a. Develop, publish, and distribute the FRB agenda and meeting schedule to designated organizations and FRB members.

b. Receive change requests from business units for presentation to the FRB.

c. Distribute the change requests to FRB members for their review prior to FRB meetings.

d. Document attendance and record the minutes of each FRB meeting, and distribute final minutes to each FRB member within five business days of approval.

e. Ensure the Board action is documented for each change request and advise requesting organization of the action taken by the FRB.

f. Maintain a current list of membership of the FRB and publish an update at least semiannually.

g. Maintain a file of applicable regulations, policies and correspondence pertaining to FRB functions.

9. Individual FRB Member responsibilities. Individual FRB members will review all changes and other agenda items presented to the FRB and act as voting members (where applicable) and advisors to the FRB Chairperson by representing their organizational position and presenting operational or organizational concerns to the Chairperson. The FRB members responsibilities are listed below:

a. Act as the FRB focal point within their organization ensuring that change requests and agenda items are fully coordinated within their organization and all concerns, questions or problems are addressed.

b. Review and evaluate the effect of agenda items before FRB meetings.

c. Provide sufficient information needed to assess the effect of the change and participate in the system change request review.

d. Negotiate for their respective organization and have the authority to commit their organization to take action on changes being reviewed by the FRB.

e. Complete an impact analysis detailing the impact of the change(s) to the functions that the member is presenting.

f. Provide agenda items and supporting documents to the FRB Secretary at least fifteen business days prior to the scheduled meeting.

g. Attend FRB meetings or send the designated alternate. Alternates may attend meetings with the primary Board member.

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h. Ensure action items assigned are completed by established deadlines.

i. Fairly represent the FRB and the FRB decisions to their respective organizations.

10. FRB Meetings

a. A FRB meeting will be held at a minimum of once a month. FRB meetings will be guided by the priority of the agenda items requiring action. In the absence of the Chairperson, a designated alternate Chairperson operates with full authority as provided by the FRB Charter and implementing directives. A quorum for FRB meetings occurs when 50 percent of the voting members are present. Recommendations agreed upon during the meeting will not be further coordinated with organizations not in attendance.

b. The FRB requires sufficient expertise in appropriate functional and technical areas to render sound decisions on proposed changes and system-related issues. Depending on the type of change proposed, the FRB may require specialized advice. With approval of the FRB Chairperson, functional and technical advisors from DoN as well as from external sources may be invited to participate in the FRB (i.e. Defense Finance and Accounting Service (DFAS), etc.). The FRB Secretary will provide these advisors background information in advance of the meeting.

11. Functional Capability Request Process. The FRB Chairperson establishes the agenda for meetings. The FRB Secretary then schedules system change requests and agenda items for review inviting advisors as necessary. Scheduled system change requests and agenda items are reviewed by the FRB. The Secretary documents the FRB proceedings. Controversial or precedence setting recommendations will be presented to Chairperson within fifteen business days of the meeting as appropriate. When a system change request is disapproved, the decision on the system change request is returned through the FRB to the originator with an explanation prepared by the FRB Chairperson.

12. Functional Capability Request Priorities. The primary objective of the FRB is to prioritize system change requests recommended for implementation. The Board Members may request reconsideration of the Board's priority recommendation. The

Chairperson will respond within 15 business days of receipt of a reconsideration request with a decision as to whether or not to change or maintain the recommended priority. All system changes that are approved will be assigned one of the following priority categories:

a. Emergency change. An emergency priority is assigned to changes which, if not accomplished without delay, may:

- (1) Seriously compromise system security,
- (2) Result in non-compliance with law or court decision where timeliness is critical.
- (3) Implementation of an action to address emergency change requests will typically begin within 24-hours of approval.

b. Maintenance change. A maintenance priority is assigned to changes when failure to implement the change may lead to the following:

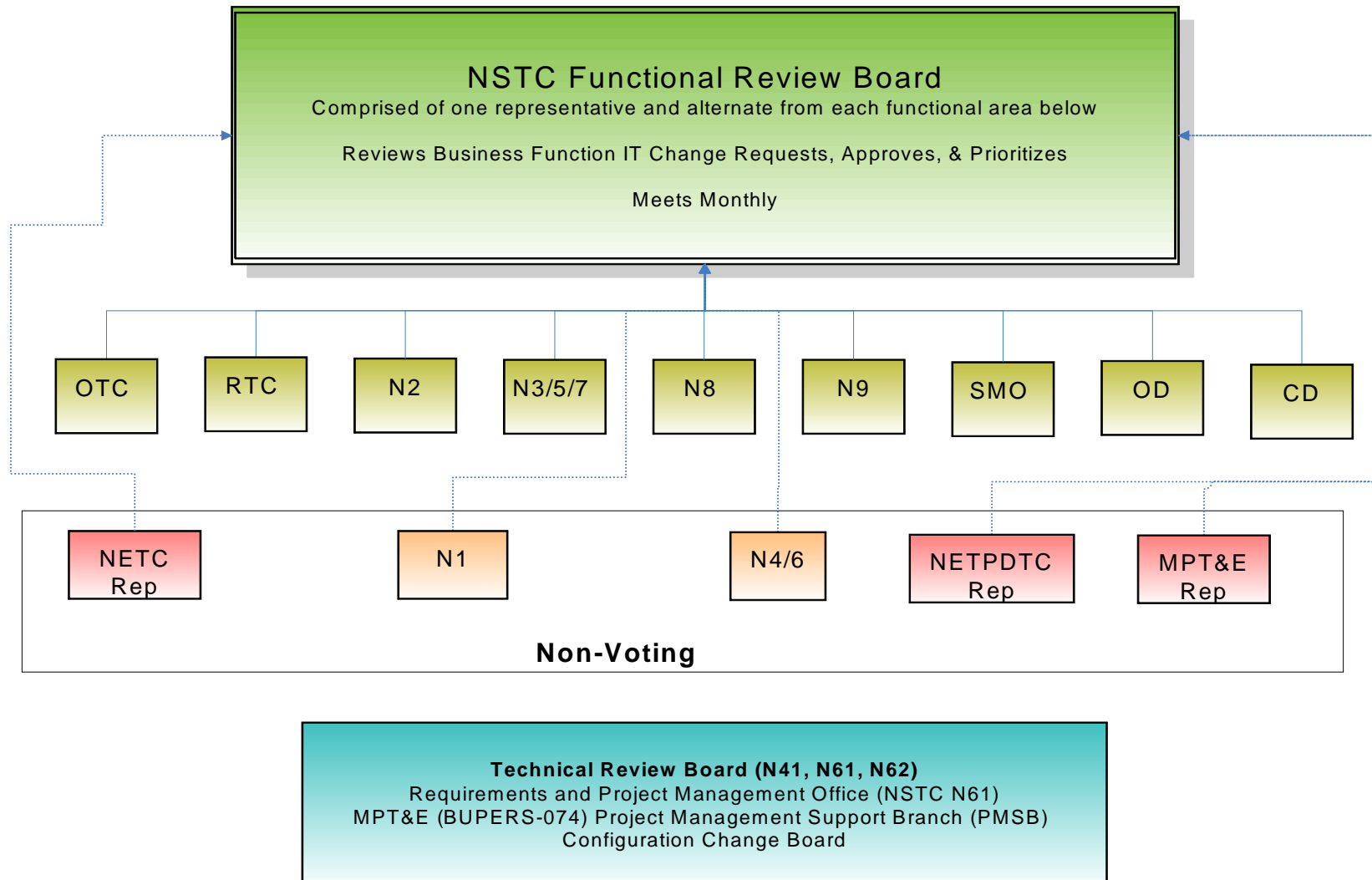
- (1) System performance or capabilities may be seriously affected, or a cumbersome and time-consuming alternative may be required,
- (2) Critical products may be unusable,
- (3) New or changed regulatory requirement with a stringent completion date cannot be met, or
- (4) Result in non-compliance with law or court decision where timeliness is important but not critical.
- (5) Implementation of maintenance change requests will be accomplished as soon as possible depending upon the magnitude of the problem(s) or required completion date.

c. Normal Business change. A change that the FRB recognizes as important to the future capability of the business unit. Implementation of normal business changes will be prioritized and referred to the NSTC N61-RPMO or to MPT&E Functional Review Board based on funding decisions at the FRB and NSTC command level.

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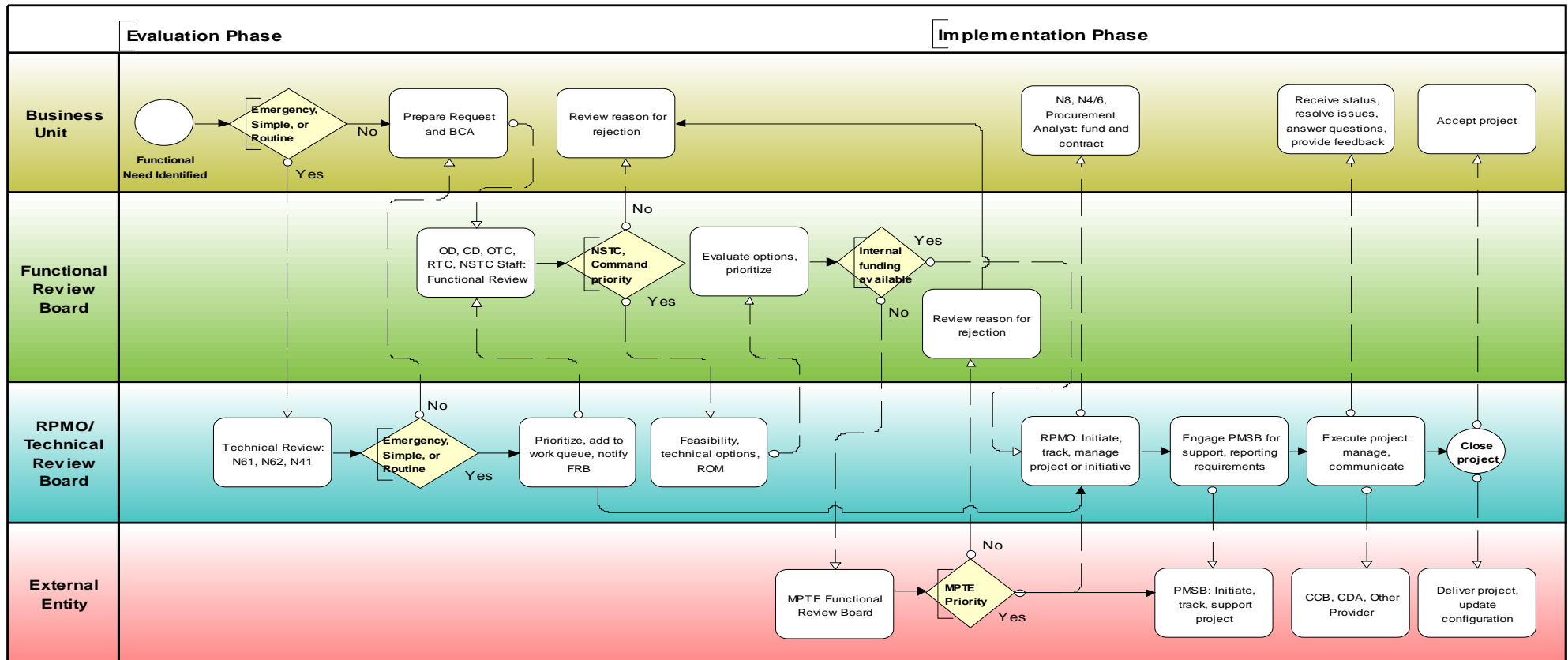
Functional Review Board Composition Chart



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Functional Review Process Flowchart



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